

2/05/02

0280

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Christian Maria Anton Heller

Group Art Unit:

Serial No.: 10/065,850

Examiner:

Filed: November 26, 2002

For ELECTRODES MITIGATING EFFECTS OF  
DEFECTS IN ORGANIC ELECTRONIC DEVICES

## INFORMATION DISCLOSURE STATEMENT

 1 Pursuant to 37CFR 1.97(b)

[within 3 months of national, non-CPA filing or prior to 1st Office Action] no charge

 2 Certification Pursuant to 37 CFR 1.97(c)(1)

[before Final Office Action, Allowance, or other action closing prosecution] no charge

 3 Fee Payment Pursuant to 37 CFR 1.97(c)(2)

[before Final Office Action, Allowance, or other action closing prosecution] \$180.00

 4 Certification & Fee Payment Pursuant to 37 CFR 1.97(d)

[On or before issue fee payment] \$180.00

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

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Date of Deposit

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Signature

This paper is submitted in accordance with:

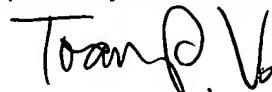
- 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- 8 The required Certification made in item 11 below; or
- 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- 10 37 CFR 1.97(d): [on or before issue fee payment]; and
  - a) The required Certification is stated in item 11 below; and
  - b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- 11 Certification
- 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

14 Payment of all applicable fees:

15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



Attorney - Toan P. Vo  
Registration No. 43,225  
Phone: (518) 387-6648  
or (518) 387-7122

November 25, 2002

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, New York 12301  
Customer Number: 006147

FORM PTO-1449  
(REV. 7-80)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

122023

SERIAL NO.

10/065,850

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT--**

**LIST OF ITEMS**

(Use several sheets if necessary)

Applicant

Christian Maria Anton Heller

Filing Date

11/26/02

Group

**U.S. PATENT DOCUMENTS**

| *EXAMINER INITIAL | DOCUMENT NUMBER |   |   |   |   |   |   | DATE | NAME     | CLASS             | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|---|---|---|---|---|---|------|----------|-------------------|----------|----------------------------|
|                   | AA              | 5 | 2 | 9 | 4 | 8 | 7 | 0    | 03/15/94 | Tang et al.       |          |                            |
|                   | AB              | 6 | 1 | 2 | 7 | 6 | 9 | 3    | 10/03/00 | Chen et al.       |          |                            |
|                   | AC              | 6 | 3 | 6 | 5 | 2 | 7 | 0    | 04/02/02 | Forrest et al.    |          |                            |
|                   | AD              | 6 | 4 | 0 | 3 | 2 | 3 | 8    | 06/11/02 | Horhold et al.    |          |                            |
|                   | AE              | 6 | 3 | 2 | 9 | 0 | 8 | 4    | 12/11/01 | Tamano et al.     |          |                            |
|                   | AF              | 6 | 0 | 3 | 0 | 7 | 1 | 5    | 02/29/00 | Thompson et al.   |          |                            |
|                   | AG              | 6 | 0 | 0 | 4 | 6 | 8 | 5    | 12/21/99 | Antoniadis et al. |          |                            |
|                   | AH              | 6 | 0 | 4 | 8 | 6 | 3 | 0    | 04/11/00 | Burrows et al.    |          |                            |
|                   | AI              | 6 | 3 | 0 | 3 | 2 | 3 | 8    | 10/16/01 | Thompson et al.   |          |                            |
|                   | AJ              | 6 | 3 | 2 | 9 | 0 | 8 | 5    | 12/11/01 | Burrows et al.    |          |                            |
|                   | AK              | 6 | 3 | 3 | 3 | 1 | 2 | 2    | 12/25/01 | Furukawa et al.   |          |                            |

**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|-----------------|----------|---------|-------|----------|-------------|----|
|  |    |                 |          |         |       |          | YES         | No |
|  | AL | 0 1 4 5 4 6 9   | 06/21/01 | PCT     |       |          |             |    |
|  | AM | 0 1 4 2 2 1 8   | 06/14/01 | PCT     |       |          |             |    |
|  | AN | 1 2 1 5 9 4 5   | 12/12/01 | EP      |       |          |             |    |
|  | AO |                 |          |         |       |          |             |    |
|  | AP |                 |          |         |       |          |             |    |

**OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)**

|    |   |
|----|---|
| AR | H. Suzuki et al., "Near-Ultraviolet Electroluminescence from Polysilanes" Thin Solid Films, Vol 331, pages 64-70 (1998).  |
| AS | I. Seguy et al., "Red Organic Light Emitting Device Made From Triphenylene Hexaester and Perylene Tetraester," Journal of Applied Physics., Vol. 89, No. 10, 5442 (2001).   |
| AT | C. Adachi et al., "Electroluminescence Mechanisms in Organic Light-Emitting Devices Employing a Europium Chelate Doped in a Wide Energy Gap Bipolar Conducting Host," Journal of Applied Physics., Vol. 87, No.11, 8049 (2000). |

EXAMINER

DATE CONSIDERED

FORM PTO-1449  
(REV. 7-80)  
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

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**LIST OF ITEMS**

(Use several sheets if necessary )

Applicant

Christian Maria Anton Heller

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|-------------------|-----------------|---|---|---|---|---|---|------|----------|-----------------|----------|----------------------------|
|                   | BA              | 6 | 0 | 2 | 3 | 3 | 7 | 1    | 02/08/00 | Onitsuka et al. |          |                            |
|                   | BB              | 6 | 3 | 9 | 2 | 2 | 5 | 0    | 05/21/02 | Aziz et al.     |          |                            |
|                   | BC              | 5 | 5 | 9 | 8 | 8 | 0 | 3    | 02/04/97 | Czipri          |          |                            |
|                   | BD              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BE              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BF              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BG              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BH              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BI              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BJ              |   |   |   |   |   |   |      |          |                 |          |                            |
|                   | BK              |   |   |   |   |   |   |      |          |                 |          |                            |

**FOREIGN PATENT DOCUMENTS**

|  |    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|-----------------|------|---------|-------|----------|-------------|----|
|  |    |                 |      |         |       |          | YES         | No |
|  | BL |                 |      |         |       |          |             |    |
|  | BM |                 |      |         |       |          |             |    |
|  | BN |                 |      |         |       |          |             |    |
|  | BO |                 |      |         |       |          |             |    |
|  | BP |                 |      |         |       |          |             |    |

**OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)**

|    |   |
|----|---|
| BR | H. Heil et al., "Tris (dibenzoylmethane)(monophenanthroline) europium (III) Based Red Emitting Organic Light Emitting Diodes," Journal of Applied Physics, Vol. 90, No. 10, 5357 (2001).                |
| BS | Y. Kawamura et al., "Energy Transfer in Polymer Electrophosphorescent Light Emitting Devices with Single and Multiple Doped Luminescent Layers," Journal of Applied Physics, Vol. 92, No. 1, 87 (2002). |
| BT | P.F. Gordon & P. Gregory, "Organic Chemistry in Colour," Springer-Verlag, Berlin, pp. 99-101, 105-106, 126, 180, 253-255, 257 (1983).   |

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.

| FORM PTO-1449<br>(REV. 7-80)<br>(Title Amended 3/83)  |  | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE |                 | ATTY. DOCKET NO.<br><br>122023 | SERIAL NO.<br><br>10/065,850 |                            |
|---|--|--|-----------------|--------------------------------|------------------------------|----------------------------|
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT--<br><br><u>O I P E</u><br><br>LIST OF ITEMS<br><br>Use several sheets if necessary )   |  | Applicant<br><br>Christian Maria Anton Heller              |                 |                                |                              |                            |
|   |  | Filing Date<br><br>11/26/02                                | Group           |                                |                              |                            |
|   |  | U.S. PATENT DOCUMENTS                                      |                 |                                |                              |                            |
| EXAMINER INITIAL  | DOCUMENT NUMBER  | DATE   | NAME            | CLASS                          | SUBCLASS                     | FILING DATE IF APPROPRIATE |
| CA  |  |  |                 |                                |                              |                            |
| CB  |  |  |                 |                                |                              |                            |
| CC  |  |  |                 |                                |                              |                            |
| CD  |  |  |                 |                                |                              |                            |
| CE  |  |  |                 |                                |                              |                            |
| CF  |  |  |                 |                                |                              |                            |
| CG  |  |  |                 |                                |                              |                            |
| CH  |  |  |                 |                                |                              |                            |
| CI  |  |  |                 |                                |                              |                            |
| CJ  |  |  |                 |                                |                              |                            |
| CK  |  |  |                 |                                |                              |                            |
| FOREIGN PATENT DOCUMENTS  |  |  |                 |                                |                              |                            |
|   | DOCUMENT NUMBER  | DATE   | COUNTRY         | CLASS                          | SUBCLASS                     | TRANSLATION<br>YES      No |
| CL  |  |  |                 |                                |                              |                            |
| CM  |  |  |                 |                                |                              |                            |
| CN  |  |  |                 |                                |                              |                            |
| CO  |  |  |                 |                                |                              |                            |
| CP  |  |  |                 |                                |                              |                            |
| OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)  |  |  |                 |                                |                              |                            |
| CR  | 09/683,345, A. Duggal et al., "Light-Emitting Device with Organic Electroluminescent Material and Photoluminescent Materials," Filed December 17, 2001, (GE Docket RD-28,430). |  |                 |                                |                              |                            |
| CS  |  |  |                 |                                |                              |                            |
| CT  |  |  |                 |                                |                              |                            |
| EXAMINER  |  |  | DATE CONSIDERED |                                |                              |                            |
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